

# Co-evolution of Author IDs and Research Information Infrastructure in the Netherlands

Clifford Tatum , SURF Market



L'identité du publant à l'épreuve du numérique Enjeux et perspectives  
pour l'identification des auteurs — Bordeaux, 16 June 2015



# Affiliations

Collaborative  
organisation for  
ICT in Dutch  
higher education  
and research



Universiteit  
Leiden

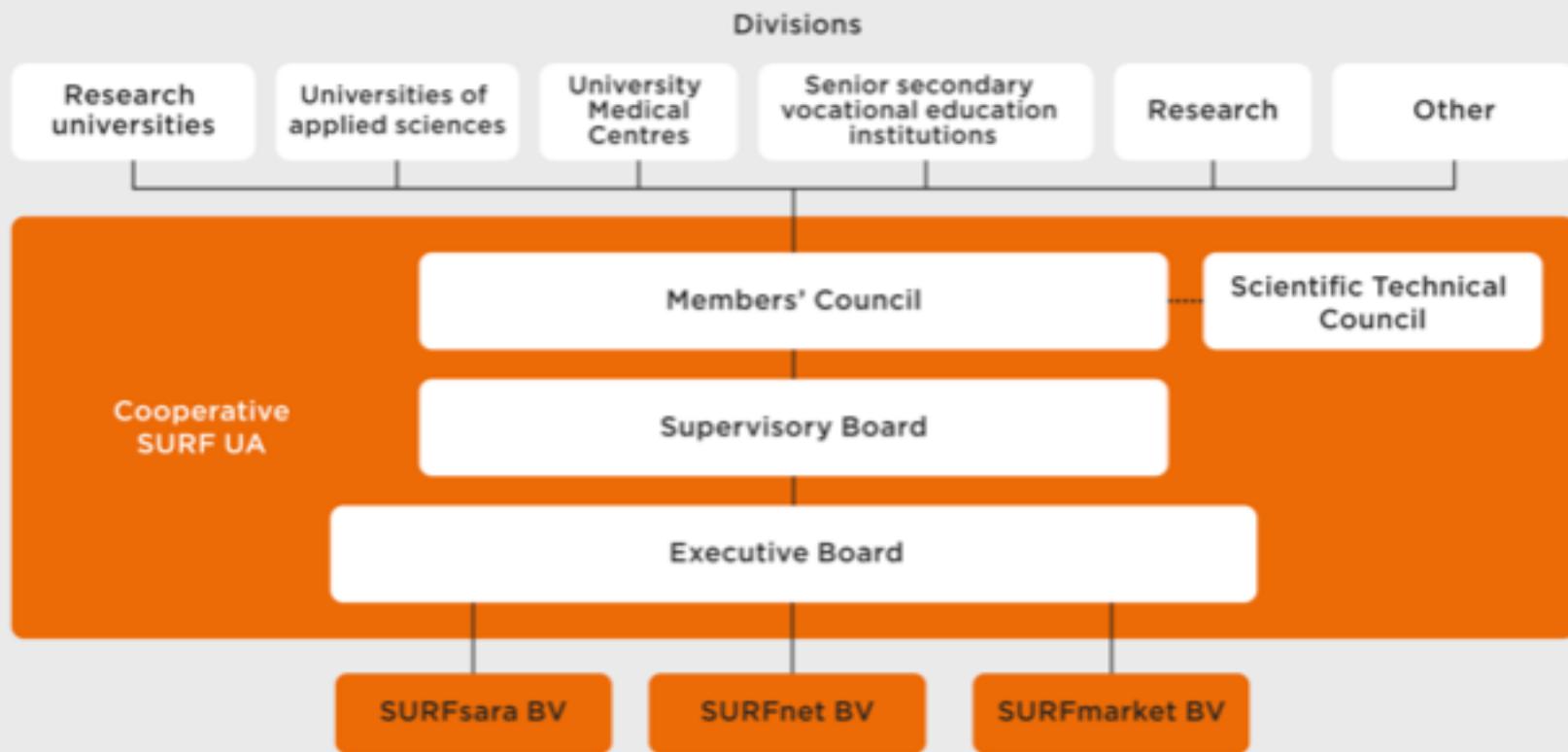
# outline

- SURF organization
- Dutch author identification
- Research information context
- ORCID pilot project

# the SURF organization



# SURF as cooperative (since 2015)

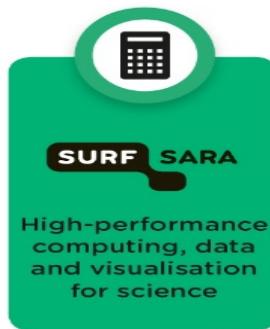


# What SURF can do

## WHAT SURF CAN DO

GUARANTEES COLLABORATION AND INVOLVEMENT  
OF MANAGERS IN HIGHER EDUCATION AND RESEARCH

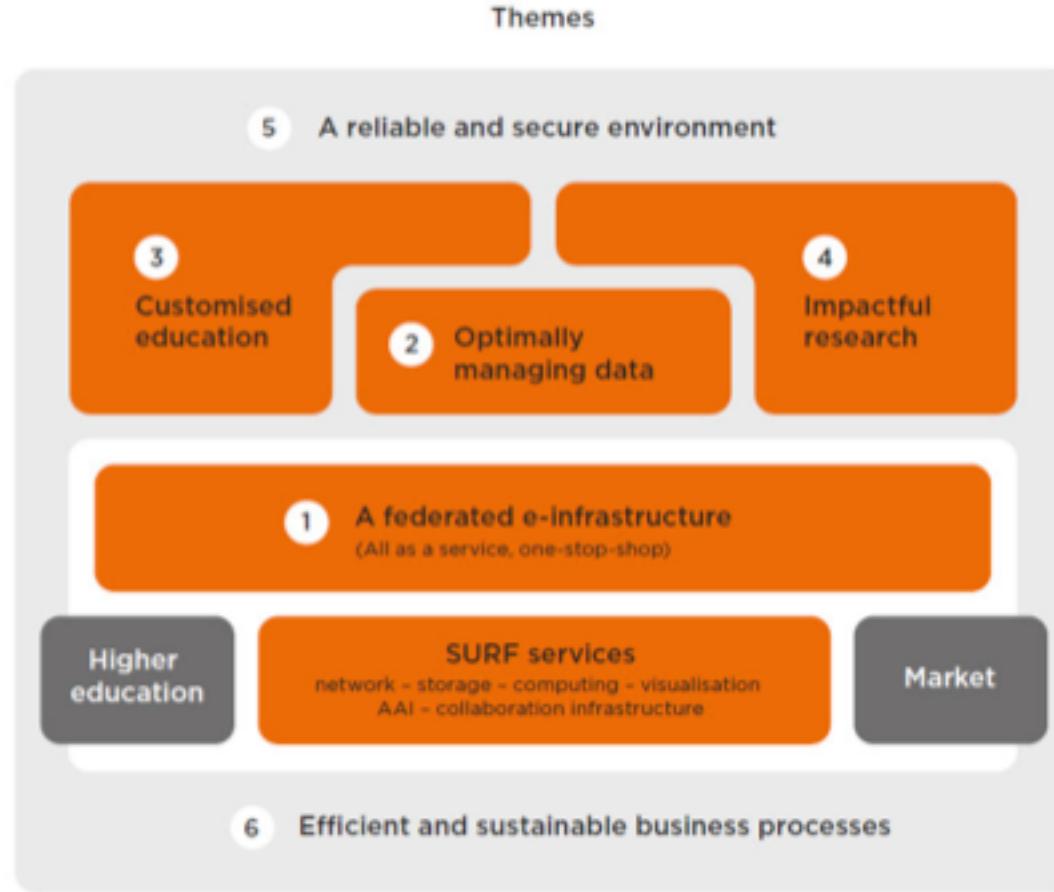
SURF



Research workflow optimisation



# Strategic themes 2015-2018



# 10 innovation programmes



- P1 Interconnected infrastructure
  - P2 Computing and data infrastructure
  - P3 Federated e-infrastructure
  - P4 Sustainable data
  - P5 Personalised education
  - P6 Seamless ICT for research
  - P7 Open Access
  - P8 Trust and security
  - P9 Efficient business administration
  - P10 Sustainable ICT
- [www.surf.nl/strategic-plan](http://www.surf.nl/strategic-plan)

## Author Identification

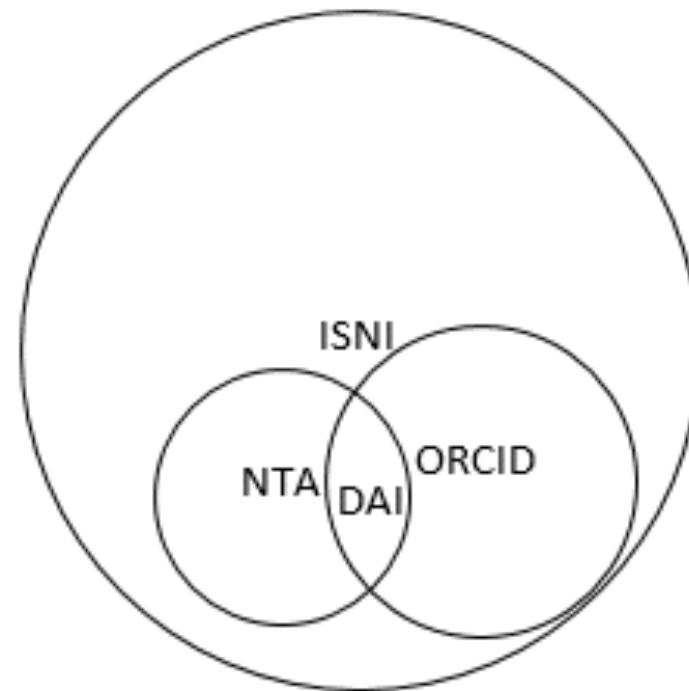
- NTA (Netherlands Authors Thesaurus)
- DAI (Digital Author Identifier)
- ISNI (International Standards Name Identifier)
- ORCID (Open Researchers and Contributor ID)
- VAIFF (Virtual International Authority File)



# background: Author IDs in the Netherlands

## Conceptual overlap among ID Systems

- ISNI - Int'l identities of contributors
- ORCID Int'l researcher identities
- NTA - (Dutch) identities of contributors
- DAI - (Dutch) researcher identities



# background: Author IDs in the Netherlands

Development of Digital Author Identifier program (2005)

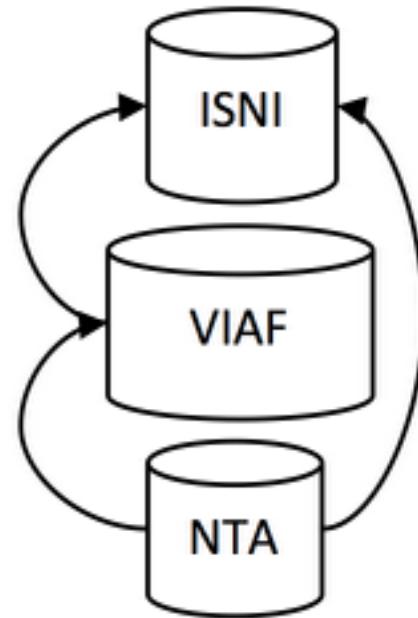
- Unique number for Dutch academic authors
- Based on the linkage between METIS and NTA
- DAIs assigned based on presence in National Author Thesaurus

DAI group: KB, OCLC, DANCE, SURF, institutions and UKB

- National Library (KB): NTA functional management and help desk
- OCLC: technical management NTA

Recent Developments

- transition from METIS to contemporary CRIS systems
- emerging international ID standards: ORCID and ISNI
- National mandate for 100% Open Access



# Recent developments

## SURF recommendation

1. use ISNI as long term (general) author ID, including dead authors
2. implement ORCID as author ID within scientific community
3. motivate researchers to 'claim' ORCID
4. integrate ISNI and ORCID in CRIS systems (registration of research output)
5. if sufficient interest among institutions, negotiate national ORCID license
6. establish an ISNI registration agency in the Netherlands
7. transition DAs to ISNIs (universities, nation library, and OA repositories)
8. conduct ORCID pilot project (3 use cases/universities)

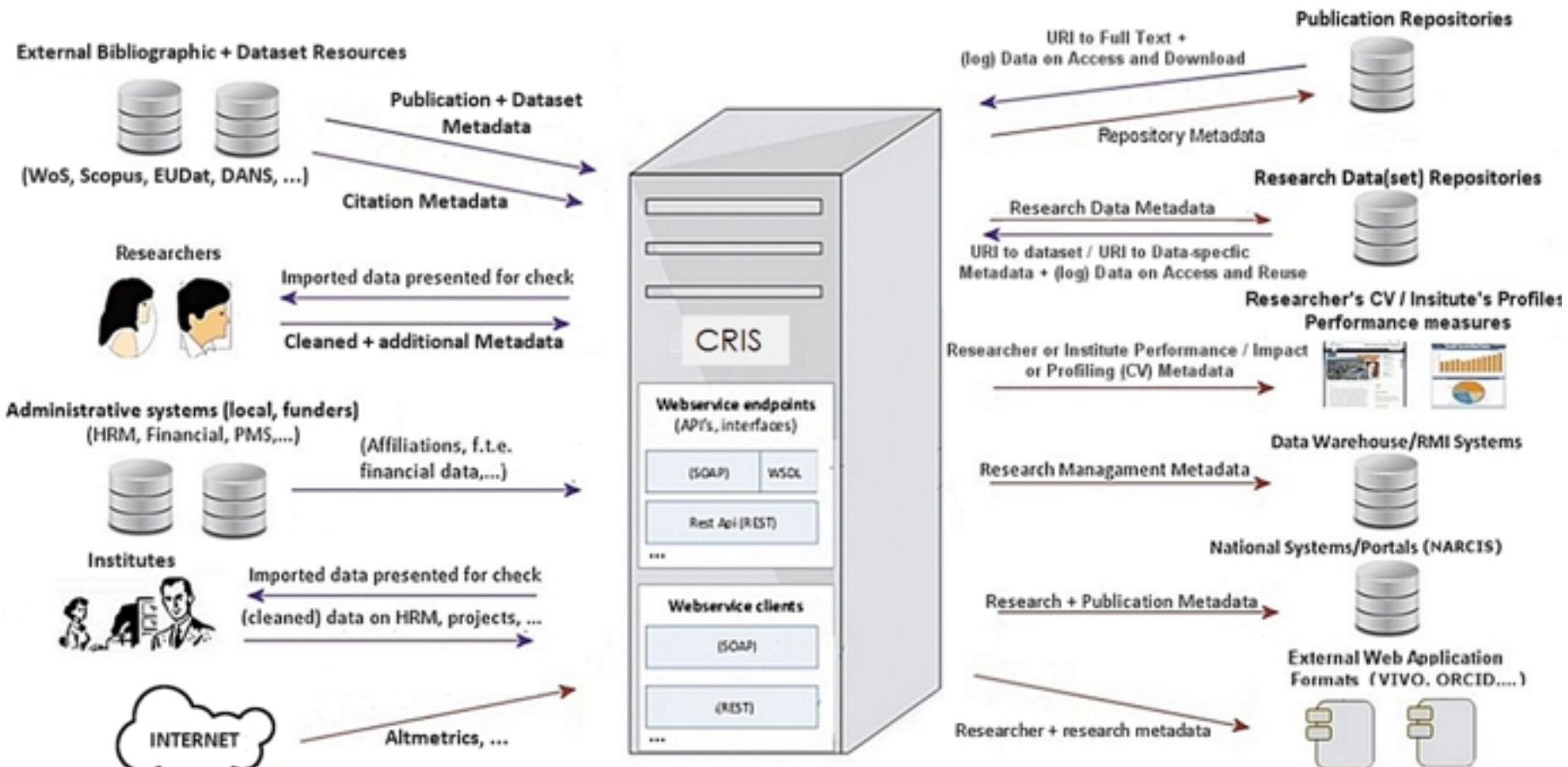
## Research Information

- Research objects/outputs
- Open Access repositories
- CRIS (Current Research Information Systems)
- Interoperability issues



# RISE of CRIS systems in Europe (and euroCRIS)

RI Infrastructure on an institutional level: Central position of CRIS



Exchange of information to and from the CRIS automated and based on CERIF-XML

source: <http://eurocris.org>

# Research Information in The Netherlands

- Evolved into serving two domains
  - Institutional Research
  - Library
- Main research information infrastructures
  - METIS: Research information systems
  - NARCIS: (Open Access) Repository network
  - GGC / Digital Author Identifier: Library catalogue
- Standard Evaluation Protocol (SEP)
- VSNU, NWO, KNAW, Rathenau Institute

# Evolution of CRIS in The Netherlands

## History

- 1992: METIS (OZIS)
- 2008-2012: Joint European Tender 'NL RIS'
- now: Individual procurement

## Current situation

- METIS
- Converis
- Pure
- ...?



table 5.2 Research staff at institutional and programme level

Entire Instit
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Non-tenured
PhD-candida
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<b>Research pr</b>
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Non-tenured
PhD-candida
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Non-refereed
Books
Book chapter
PhD-theses
Conference p
Professional
Publications
Expenditure
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PhD-theses
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Note 4: Othe
(e.g. engineering) and medi

table 5.3 Main categories of research output at institutional and programme level

table 5.4 Funding at institutional and programme level

table 5.5 Standard PhD-Candidates (1)

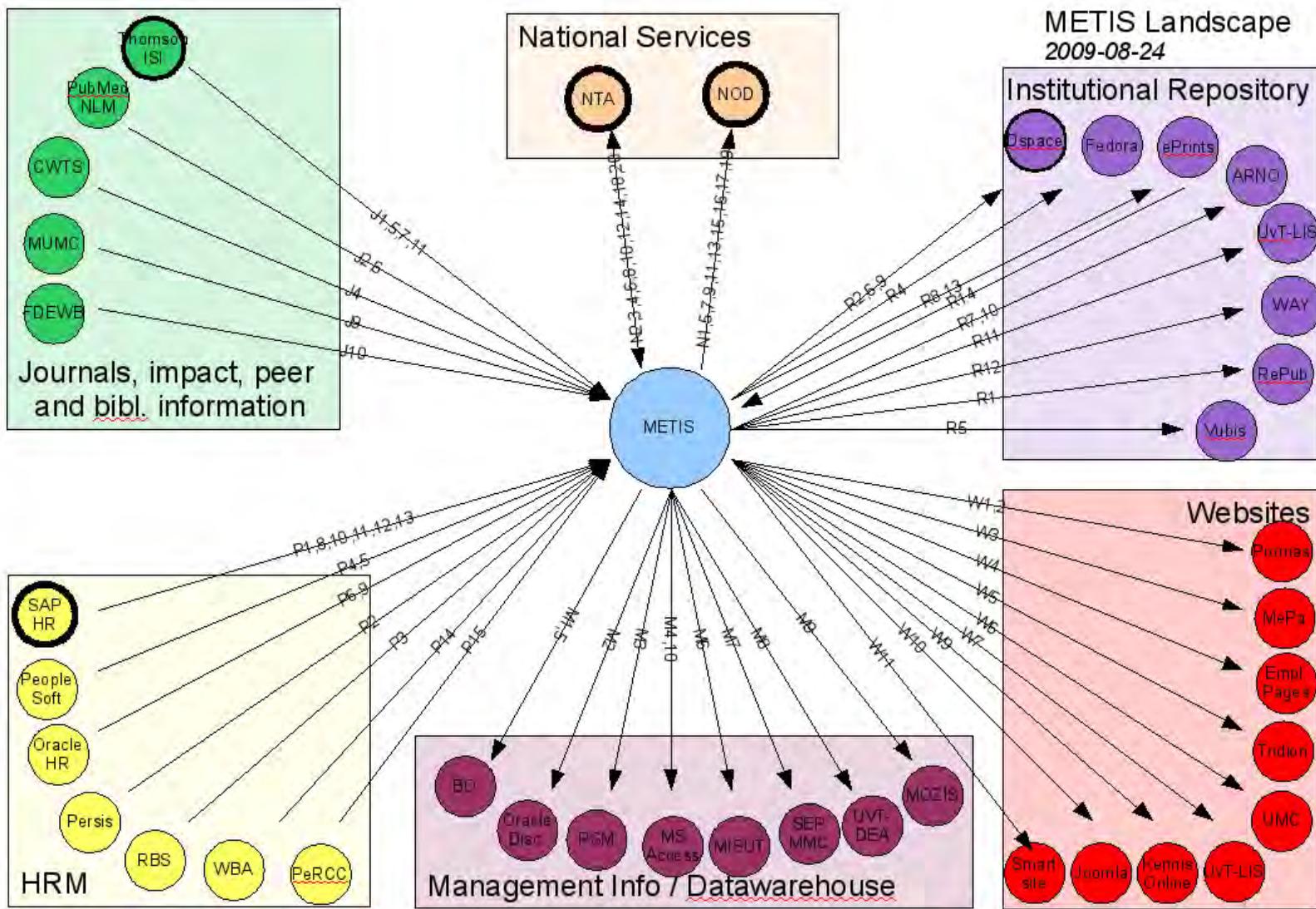
Enrolment			Success rates				Total		
Starting year	Enrolment (male / female)	Total (male + female)	Graduated after ( $\leq$ ) 4 years	Graduated after ( $\leq$ ) 5 years	Graduated after ( $\leq$ ) 6 years	Graduated after ( $\leq$ ) 7 years	Total graduated	Not yet finished	Discontinued
T-8	#M #F	#	# / %	# / %	# / %	# / %	# / %	# / %	# / %
T-7	#M #F	#	# / %	# / %	# / %	# / %	# / %	# / %	# / %
T-6	#M #F	#	# / %	# / %	# / %	-	# / %	# / %	# / %
T-5	#M #F	#	# / %	# / %	-	-	# / %	# / %	# / %
T-4	#M #F	#	# / %	-	-	-	# / %	# / %	# / %

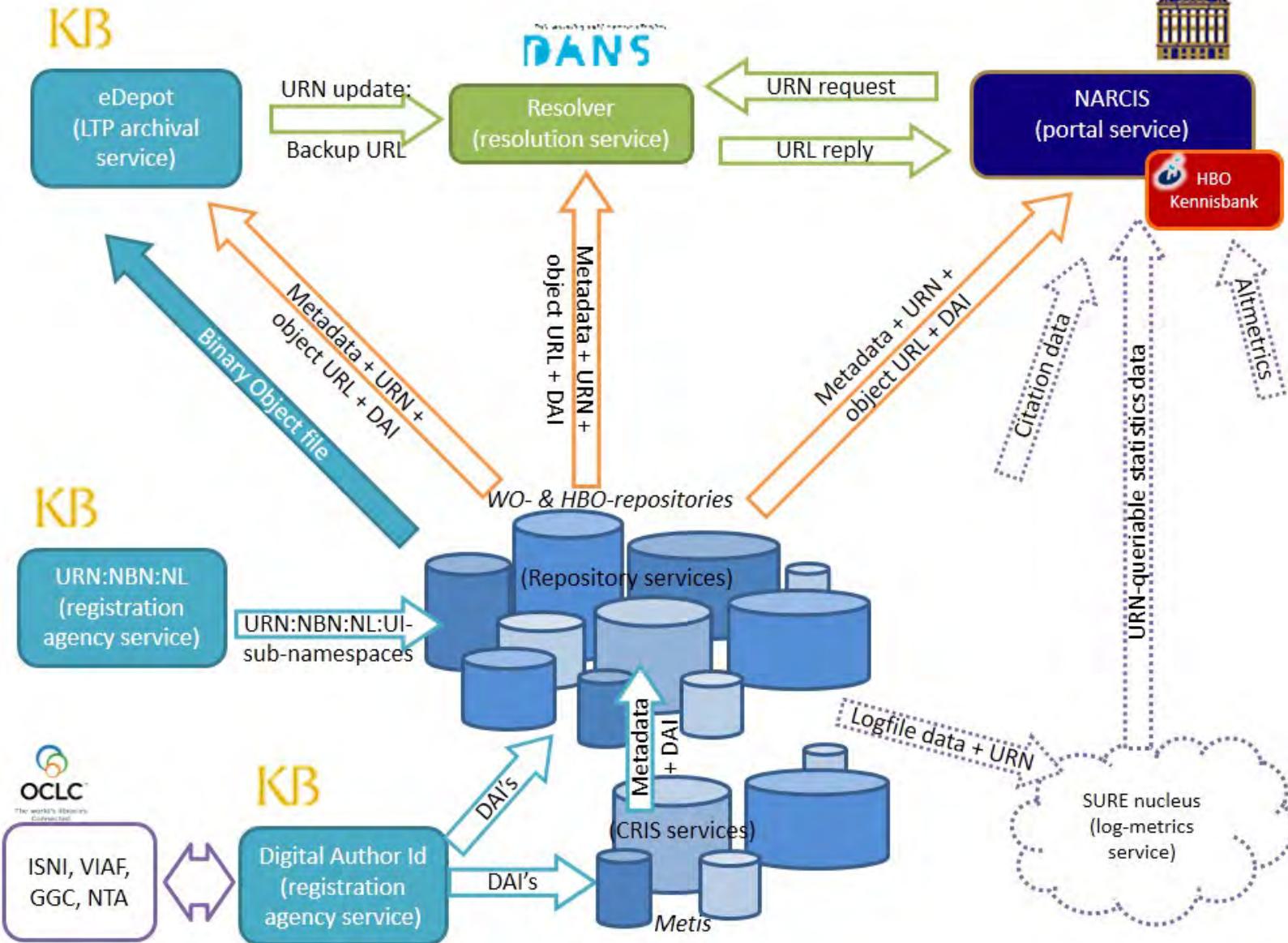
Note 1: Standard PhD-candidate with employee status and conducting research with primary aim/obligation to graduate; (AiO, promovendus)

table 5.6 Contract PhD-candidates (1)

Enrolment			Success rates				Total		
Starting year	Enrolment (male / female)	Total (male + female)	Graduated after ( $\geq$ ) 4 years	Graduated after ( $\leq$ ) 5 years	Graduated after ( $\leq$ ) 6 years	Graduated after ( $\leq$ ) 7 years	Total graduated	Not yet finished	Discontinued
T-8	#M #F	#	# / %	# / %	# / %	# / %	# / %	# / %	# / %
T-7	#M #F	#	# / %	# / %	# / %	# / %	# / %	# / %	# / %
T-6	#M #F	#	# / %	# / %	# / %	-	# / %	# / %	# / %
T-5	#M #F	#	# / %	# / %	-	-	# / %	# / %	# / %
T-4	#M #F	#	# / %	-	-	-	# / %	# / %	# / %

Note 1: Contract PhD-candidates without employee status, receiving external funding or university scholarship, conducting research under the authority of the institute with primary aim to graduate; (beurspromovendus)





- Maurice Vanderfeesten, SURF

## ORCID Pilot

- **use case 1:** Open Access publishing
- **use case 2:** integrating DAI, ISNI, ORCID in CRIS
- **use case 3:** SURFconext (federated identity)



# use-case 1: ORCID & Open Access

## context: national open access mandate

The screenshot shows a page from the Tweede Kamer der Staten-Generaal website. The title of the speech is "Open Access to publications" and it was delivered on 21-01-2014. The text discusses the speaker's ideas about open access and the need for unrestricted access to research publications. It mentions the first steps towards open access and the emergence of various models like gold and green open access. The speech concludes with the speaker's preference for "golden" open access and a timeline to achieve it.

**Speech Text Excerpt:**

During the general parliamentary consultations on Science Policy of 18 April 2013, I promised to explain my ideas about the practice of providing open access to research publications and how that practice will have to evolve. The core of open access involves offering readers worldwide access to research publications, journals and books free of charge. My contention is that access to the results of publicly and publicly-privately funded research should always be unrestricted. Because such research is paid for from the public purse and technical impediments are essentially non-existent, I believe open access should be rolled out in the near future. Open access promotes knowledge sharing and knowledge circulation, which in their turn contribute to the Netherlands' innovative capacity.

The first steps towards open access were taken twenty years ago, when researchers began sharing their publications with one another on the Internet. In the past ten years, various parties in the Netherlands have been working on the development of various models of open access, agreements and options for open access publishing have emerged in the research community. The situation is confusing for authors, readers and publishers alike, and the stakeholders would like this confusion to be resolved as quickly as possible.

It is for that and for the following reasons that I wish to regulate open access:

1. The stakeholders – researchers, universities and publishers – have, for one reason or another, been unable to arrive at a single system for making research results available from publication onwards, provided research free for everyone at the point of use. The relevant organisations in the Netherlands, including the publishers, have indicated that a fast transition from subscription-based publishing to open access would be beneficial to them.
2. Open access is a cross-border matter and I will therefore be discussing it with my counterparts in various other countries. I will invite them to join me in considering how best to put an international system of open access into

The principle of open access involves offering readers worldwide access to research publications, journals and books free of charge. My contention is that access to the results of publicly and publicly-privately funded research should always be unrestricted.

**My preference is “golden” open access; in other words, publication in journals that make research articles available online free of charge.** My aim is for the Netherlands to have switched entirely to the golden road to **open access within ten years, in other words by 2024.** In order to achieve this, at least 60 per cent of all articles will have to be available in open access journals in five years’ time.

Secretary Dekker - 2013, 2014

(other national mandates: UK, DK, SE...)

# use-case 1: ORCID & Open Access

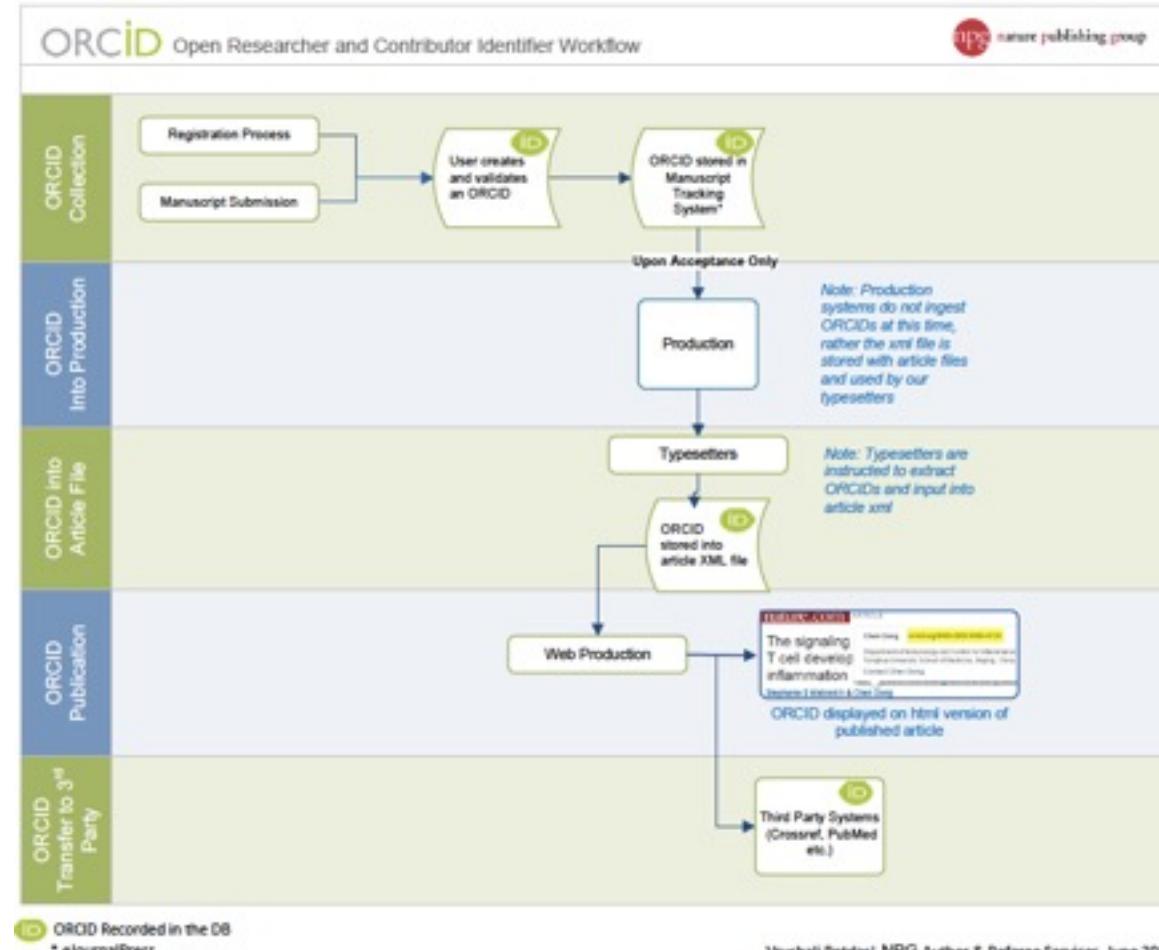
## Objectives

upon submission of manuscript (to Springer journals)

- link existing ORCIDs
- prompt registration of new ORCIDs
- include ORCIDs in article metadata

# use-case 1: ORCID & Open Access

## sample workflow



source: [orcid.org](http://orcid.org)

# use-case 1: ORCID & Open Access

sample workflow

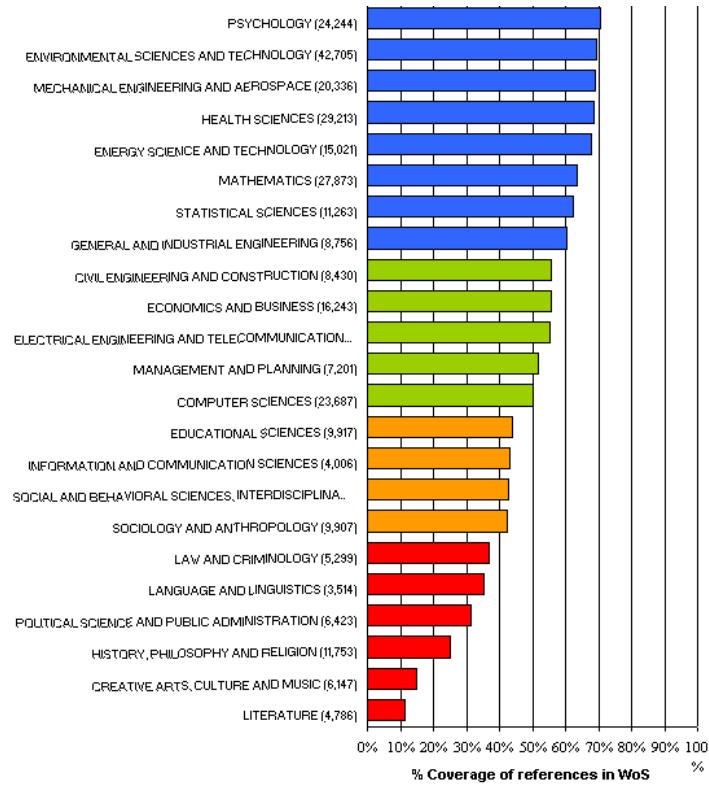
The screenshot shows a web page from the journal *nature immunology*. At the top, there is a navigation bar with links to Home, Current issue, Comment, Research, Archive, Authors & referees, and About the journal. Below the navigation bar, the URL path is shown as home > archive > issue > article > abstract. A banner at the top of the main content area encourages users to participate in a reader survey for a chance to win a Macbook Air. The main content area features an article preview for an article by Chen Dong. The author's name is displayed prominently, along with their ORCID ID ([orcid.org/0000-0002-0084-9130](http://orcid.org/0000-0002-0084-9130)). Below the author information, there is a brief summary of the research, mentioning the Department of Immunology and Center for Inflammation and Cancer, MD Anderson Cancer Center, Texas, USA, and Tsinghua University School of Medicine, Beijing, China. It also identifies Chen Dong as the corresponding author and provides contact information. Further down, it lists co-authors: Xuexian O. Y., Romica Kerl, and Watowich & Chen Dong. Links for affiliations, contributions, and corresponding authors are provided. At the bottom of the article preview, publication details are given: *Nature Immunology* 14, 732–740 (2013) | doi:10.1038/ni.2633, Received 15 February 2013 | Accepted 30 April 2013 | Published online 02 June 2013.

source: [orcid.org](http://orcid.org)

# use-case 2: CRIS integration

context: research evaluation

- increased use of bibliometric indicators
- limited to journal publications
- uneven coverage of SSH



# use-case 2: CRIS integration

context: data sources for research evaluation

## ACUMEN portfolio

### Career Narrative

Links expertise, output, and influence together in an evidence-based argument; included content is negotiated with evaluator and tailored to the particular evaluation

### Expertise

- scientific/scholarly
- technological
- communication
- organizational
- knowledge transfer
- educational

### Output

- publications
- public media
- teaching
- web/social media
- data sets
- software/tools
- infrastructure
- grant proposals

### Influence

- on science
- on society
- on economy
- on teaching

- increase output types
- link output to author
- link output to funding
- portability of profiles

*Academic Careers Understood through Measurements and Norms*

European 7th Framework collaborative project

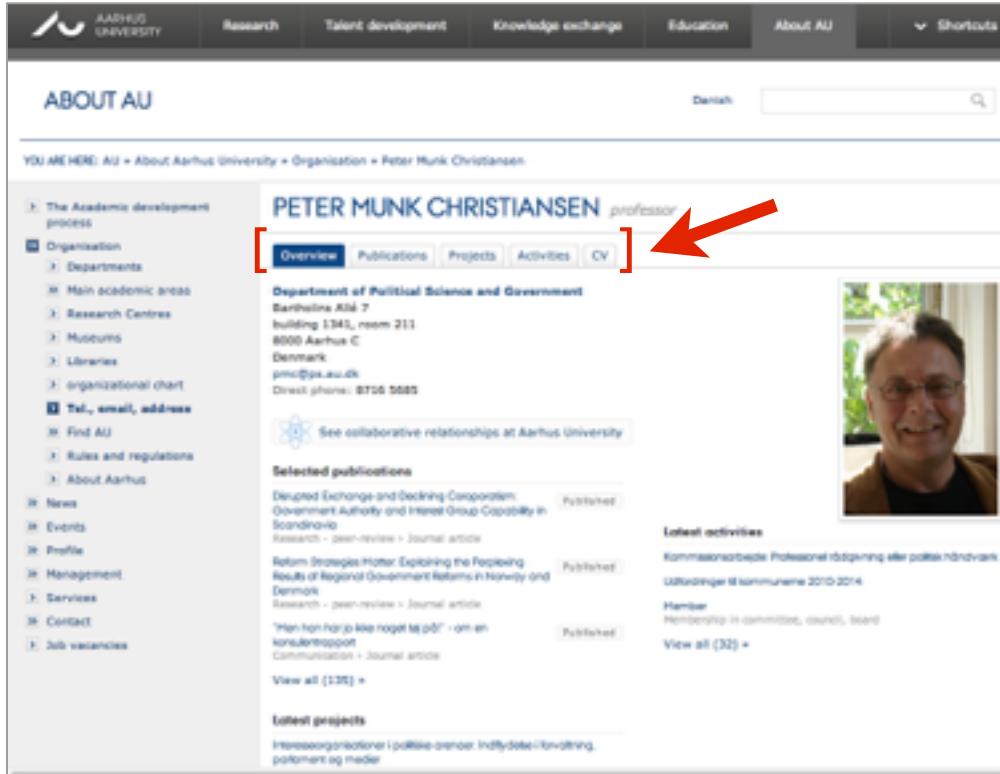
Capacities, Science in Society 2010

Grant Agreement: 266632



# use-case 2: CRIS integration

context: data sources for research evaluation



The screenshot shows a university website's 'About AU' section. At the top, there's a navigation bar with links for Research, Talent development, Knowledge exchange, Education, About AU, and Shortcuts. Below this, a sub-navigation bar for 'ABOUT AU' includes links for The Academic development process, Organisation, Departments, Main academic areas, Research Centres, Museums, Libraries, organizational chart, Tel., email, address, Find AU, Rules and regulations, About Aarhus, News, Events, Profile, Management, Services, Contact, and Job vacancies. The main content area displays a profile for 'PETER MUNK CHRISTIANSEN professor'. The profile includes a photo of a man with glasses, his title, and contact information. Below this, there are sections for 'Selected publications' (with a link to view all 138), 'Latest activities' (with a link to view all 32), and 'Latest projects' (with a link to view all 1). A red arrow points to the 'Publications' tab in the navigation bar.

- import publishing data
- author registration

# use-case 2: CRIS integration

context: data sources for research evaluation

DEPARTMENT OF POLITICAL SCIENCE AND GOVERNMENT  
PART OF SCHOOL OF BUSINESS AND SOCIAL SCIENCES

YOU ARE HERE: AU > About Aarhus University > Department of Political Science and Government > Peter Munk Christiansen > Publications

≡ Profile   ≡ Research   ≡ Knowledge Exchange   ≡ Studies   ≡ Current   ≡ Organisation   ≡ Contact   ≡ Staff   ≡ Contact information   ≡ Directions / Map   ≡ Media services

PETER MUNK CHRISTIANSEN

Overview   Publications   Projects   Activities   CV

All | Research | Communication | Education

1 - 100 out of 135 ▾   Sort by: Publication year ↗ ▾

**3863**

**Demokrati, magt og politik i Danmark**, / Christiansen, Peter Munk; Nergaard, Astrid; Sonne, 2. ed. København : Gyldendal, 2012. 338 p.

Book

**Barent-talk or policy concessions? What interest groups gain in consultations and why**, / Bindesbøll, Anne Skovgaard; Christiansen, Peter Munk; Pedersen, Helene Helboe, 2013.

Paper

**Ministerstaben i Sverige**, / Niklasson, Birgitta; Christiansen, Peter Munk.

In: Administrativ Deltet, Vol. 2012, No. 1, 06.2012, p. 20-29.

Journal article

**Danmark**, / Christiansen, Peter Munk; Nergaard, Astrid; Sonne; Sidenius, Niels Chr.

In: Verbände und Interessengruppen in den Ländern der Europäischen Union, ed. J Werner Reutter, Wiesbaden : Springer, 2012. p. 103-128.

Book chapter

**Reform Strategies Matter: Explaining the Perplexing Results of Regional Government Reforms in Norway and Denmark**, / Blom Hansen, Jens; Christiansen, Peter Munk; Ravnkilde, Anne Lise; Sæla, Per.

In: Local Government Studies, Vol. 38, No. 1, 02.2012, p. 71-90.

Journal article

**The Usual Suspects: Interest Group Dynamics and Representation in Denmark**, / Christiansen, Peter Munk.

In: The State of Interest Organization in Democratic Politics. Data and Research Methods, ed. / Barron Hargan; Grant Jordan, Houndsmit : Palgrave Macmillan, 2012. p. 161-179.

Book chapter

- possible to collect and show citation data
- source for internal assessment

# use-case 2: CRIS integration

## Objective

- integrate ORCID in data structure (CERIF)
- integrate OCID into registration workflow
- link/map ORCID to DAI and ISNI
- import existing ORCID
- register new ORCID from CRIS system

# use-case 2: CRIS integration

## sample workflow

CONVERIS

Overview Dashboard Reports Administration

Status: Active  
Hoellrigl, Thorsten - Fachbereich Informatik

1. Key Information \* 2. Research Profile 3. History

**Key Information**

Salutation: Select salutation Dr.

First name: \* Thompson

Last name: \* Hoellrigl

Initials:

ORCID ID: 0000-0002-4955-8190

Gender: Male Female

Marital status: Single

Date of birth: 05/06/1985

Place of birth: Bruchsal

Type of person: Select Type of person

Nationality:

Converis (Thompson Reuters)

source - <http://www.slideshare.net/ORCIDSlices/converis>

Thorsten Hoellrigl

Personal identification \*

First name: Thorsten Last name: Hoellrigl

Gender: Male Date of birth: 05/06/1985 Nationality: German

Name variants:  
Last name variants:  
Title: PD Dr.  
Ph.D.:  
M.Sc.:  
Dipl.:  
Dr.:  
ORCID: 0000-0002-4955-8190 Add existing ORCID Create ORCID

Profile picture: Add file  
Links: Add links  
Research interests: Add research interests

Start date as an independent researcher: Retirement date: Example: 31/12/2014

Curriculum and research description: Add profile information

Organizational affiliations \*

Associates: Associate Professor, Database and Programming Technologies  
Associate Professor, Department of Computer Science

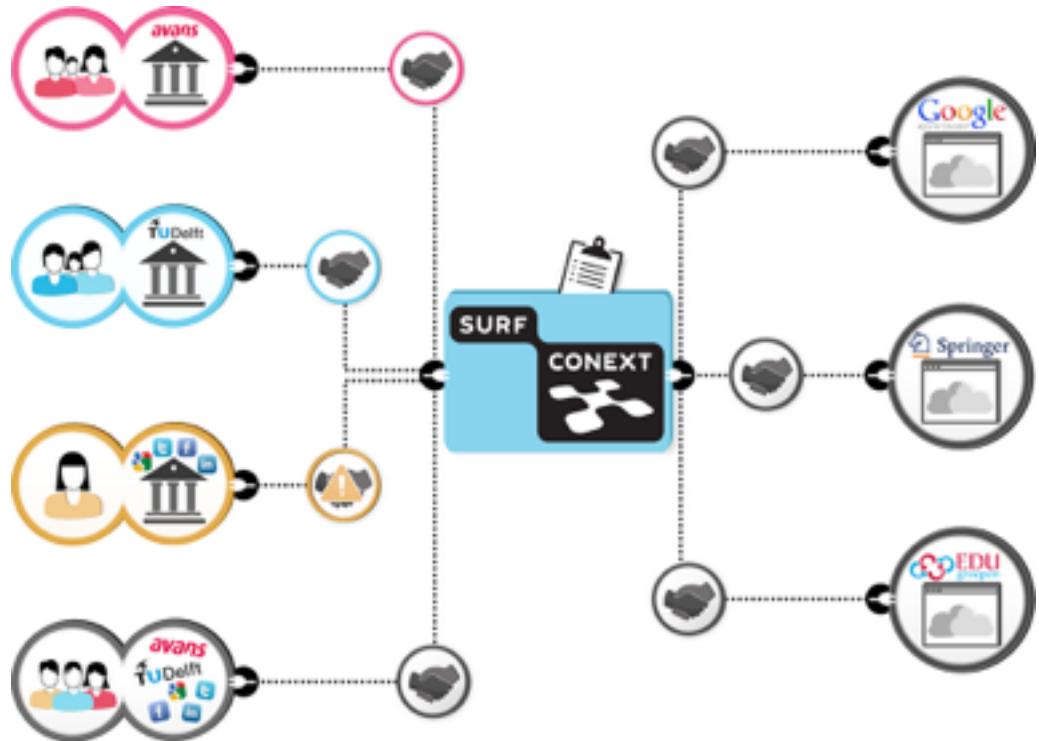
Pure (Elsevier)

source - <http://www.slideshare.net/ORCIDSlices/pure-orcid-presentationwebinardecember2014>

# use-case 3: SURFconext (federated identity)

context: existing authentication service

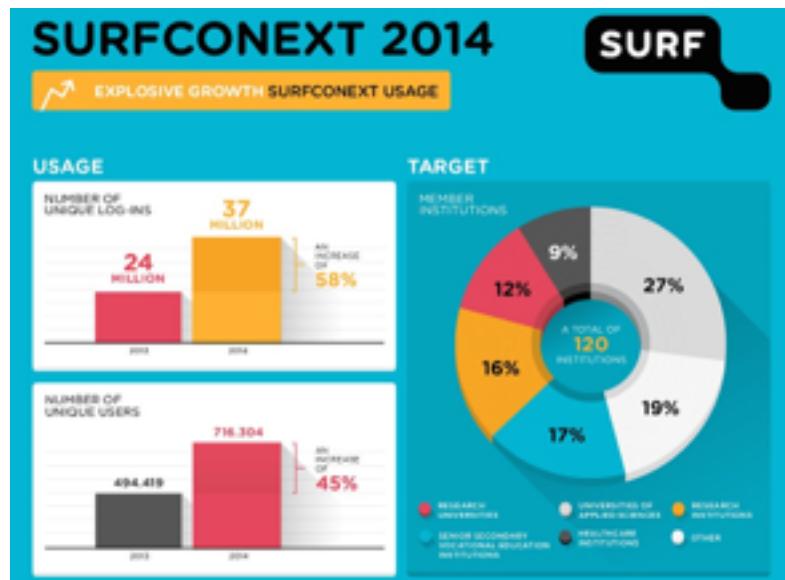
- mediates authentication between institution (identity holder) and service provider
- single sign-on functionality
- multiple service providers
- collaborative features, such as team spaces and conferencing tools



ref - <https://wiki.surfnet.nl/display/surfconextdev>

# use-case 3: SURFconext (federated identity)

context: existing authentication service



ref - <https://wiki.surfnet.nl/display/surfconextdev>

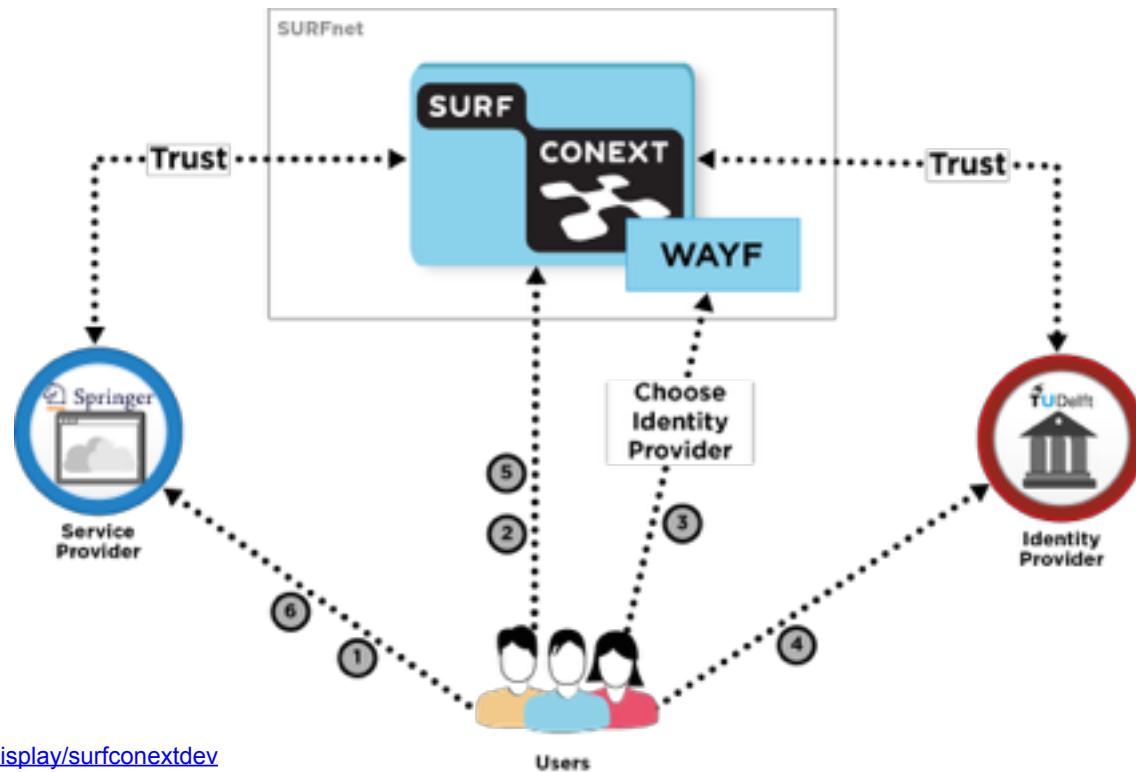
# use-case 3: SURFconext (federated identity)

## Objective/status

- integrate ORCID as an attribute in SURFconext
- work ongoing with ORCID
- potential use in CRIS environment

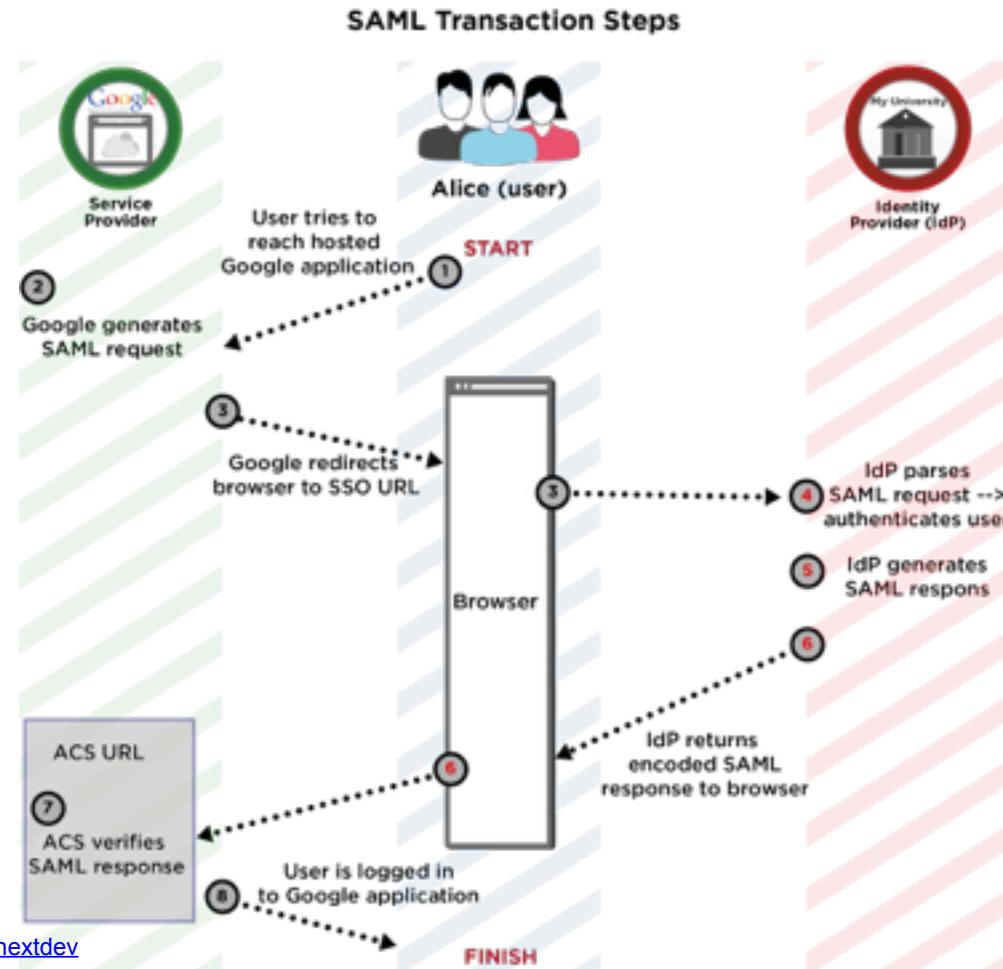
# use-case 3: SURFconext (federated identity)

(existing) workflow



# use-case 3: SURFconext (federated identity)

(existing) workflow



ref - <https://wiki.surfnet.nl/display/surfconextdev>

# Thank you for your attention!

c.c.tatum@cwts.leidenuniv.nl

www.surf.nl

